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**FACSIMILE TRANSMISSION****DATE:** September 7, 2005**TIME IN:**  
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**TO:**

Name	Fax Number	Phone Number
Mail Stop Amendment Commissioner for Patents	571-273-8300	

**FROM:** Mark A. Levenda**PHONE:** 602-382-6862**RE:** U.S. Serial No. 09/940,509**MESSAGE:**

Interview Summary (2 pgs.).

Thank you.  
Mark Levenda

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**ORIGINAL DOCUMENT:** Will not be sent**NUMBER OF PAGES (Including Cover):** ③**CONFIRMATION NO.:****CLIENT MATTER NO.:** 40655.5800**PLEASE RETURN TO:** Debbie Mier  
15s04**PERSONAL FAX:** No**REQUESTOR:** Mark Levenda**DIRECT LINE:** 602-382-6862

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CENTRAL FAX CENTER****SEP 12 2005**Serial No.: 09/940,509  
Docket No.: 40655.5800**CERTIFICATE OF FACSIMILE PURSUANT TO 37 C.F.R. §1.8**

I hereby certify that this correspondence is being transmitted via facsimile to the United States Patent and Trademark Office at (571) 273-8000 and is addressed to: Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on:

Date: September 12, 2005By: Nehorah A. Min**PATENT****IN THE UNITED STATES PATENT AND  
TRADEMARK OFFICE**

Applicants:	Dunning, et al.	Docket No.	40655.5800
Serial No.:	09/940,509	Filing Date:	August 27, 2001
Group Art Unit:	1762	Examiner:	Alain L. Bashore
Title:	SYSTEMS AND METHODS FOR CREATING AND MAINTAINING AN INVESTMENT INSTRUMENT	Confirmation No.:	7398

**INTERVIEW SUMMARY**

Mail Stop: Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Commissioner:

As requested, Applicant hereby provides its summary of the telephonic Examiner Interview conducted by the United States Patent Office with Applicant's Patent Agent on September 8, 2005. The itemized summary below is incorporated herein.

The "Substance of Interview," was to discuss an Office Action dated 6/30/2005 which was issued after RCE for the above referenced patent application. Applicant's Patent Agent explained that the Office Action cited a new reference, however lacked a response to Applicant's previously filed amendments and reply. Applicant's Patent Agent explained that the response was important in order to determine why a new reference was cited and whether any of Applicant's previously filed arguments and/or amendments were persuasive. The Examiner agreed to issue a new Office Action, including a response to Applicant's previously filed Reply

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and to reset the time period for reply. Applicant's Patent Agent expressed concern that the new Office Action would not be issued prior to the three-month period for reply to the Office Action dated 6/30/2005. The Examiner offered assurance that this would not be the case, however understood concerns over Patent Agent's liability. The Examiner advised Applicant's Patent Agent to file an Interview Summary as a precaution.

### INTERVIEW SUMMARY -APPLICANT

Participants	For USPTO	For Applicant
	Examiner: Alain L. Bashore	Agent: Mark A. Levenda
Interview	Date: September 8, 2005 Type: Telephonic	
Exhibit or Demo	None	
Claims Discussed:	None	
ID Prior Art Discussed	None	
Agreement:	A new Office Action resetting the time period for reply would be issued by the Examiner.	

Respectfully submitted,

Dated: September 12, 2005

By: Mark A. Levenda  
Mark A. Levenda  
Reg. No. 57,418

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